

Supervisory matters and investigations

Practice area under Financial Services

We have extensive practical experience with respect to the handling of matters relating to the violation of financial legislation.

In recent years we have seen an increased focus on the part of the public authorities in terms of ensuring compliance with financial legislation. This is the result of a number of restrictions on laws, among other things, where it has been stated directly that the goal is stricter penalties for violating financial legislation.

The increased focus is reflected, for instance, in the Danish Financial Supervisory Authority's stricter interpretation and enforcement of financial legislation. The Danish Financial Supervisory Authority 1) pursues to a greater extent matters which they consider to be of general public importance, 2) is quicker to make decisions to make supervisory responses, 3) reassesses members of management's fit and proper status more frequently than previously, if they have been involved in matters concerning violation of legislation, and 4) reports more offences to the police.

Plesner has extensive practical experience when it comes to handling matters relating to the violation of financial legislation. In this context, Plesner has been in regular contact with the Danish Financial Supervisory Authority with respect to interpretation of the law and handling of supervisory responses.

Our work in connection with such matters includes:

- strategic advice on how to handle the matter
- advice on regulatory risks and case law from the Danish Financial Supervisory Authority
- challenging interpretations made by the Danish Financial Supervisory Authority if it is considered relevant
- assistance in terms of communication with the Danish Financial Supervisory Authority or other relevant authorities
- internal investigations with financial undertakings for the purpose of identifying specific procedures and preparing legal opinions
- assessment of managerial responsibility and fit and proper status
- drafting of plans for handling and redressing identified non-compliance matters
- advice on all the different sets of rules that are relevant in connection with these types of matters, including access to documents, prohibition against self-incrimination, duty of disclosure and duty of confidentiality on the part of both authorities and financial undertakings

Due to the complexity and the extent of the matters we often work in cross-disciplinary teams with experts from several practice areas, for example [Corporate Criminal Law and Investigations](#), [Data Protection Law](#) and [Dispute Resolution](#).

Ratings



IFLR1000

2023 - 2024 IFLR1000

Plesner is listed in "Tier 1" as regards Banking and Finance.

"Organised and structured, very fast, and our preferred law firm in Denmark" (2023)

"They have been very service-minded and easy to deal with. Very constructive in their approach" (2023)

"Solution-orientated, pragmatic, not overcomplicating, available" (2023)



The
LEGAL
500

2024 The Legal 500

Within Banking and Finance, Plesner is a first tier firm.

"Always ready and eager to help. Highly commercial and focused on solutions across cap structure, docs, negotiation etc."

"The team is highly qualified and very proactive in assisting the client. The lawyers are both knowledgeable and commercial, which is vital in transactional work"

"The practice produces quality work with efficient project management. Truly a pleasure to work with them"

"Good competencies across various offerings (M&A, financing etc.) and different sectors"

"A unique insight in the financial industry makes it very easy to be client of Plesner. Legal advice is always in the relevant context and in accordance with new legal requirements and practice"



CHAMBERS
GLOBAL

2024 Chambers Global

Plesner is listed in "Band 1" as regards Banking & Finance.

"The team shows a great understanding of complex debt financing situations"

"Plesner are very knowledgeable in the area of financial services law"

"The lawyers always provide quick responses and good advice, and they have good a commercial understanding"

"The law firm applies high-level legal competencies while keeping a pragmatic and client-based focus at the same time"

"Plesner has one of the biggest and strongest teams in town"



The
LEGAL
500

2023 The Legal 500

Within Banking and Finance, Plesner is a first tier firm.

"The best banking and finance team in Denmark. Expert knowledge with most matters and very business oriented"

"Very good expertise. The firm has a good ability to combine the expertise of the different lawyers who provide relevant and complete advice"



CHAMBERS
GLOBAL

2023 Chambers Global

Plesner is listed in "Band 1" as regards Banking & Finance.

"The team has a highly rated commercial awareness and client service, and is great at delivering to budget"



The
LEGAL
500

2022 The Legal 500

Within Banking and Finance, Plesner is a first tier firm.

"Hands-on and always up to date on market conditions"

"The team was professional and dedicated 24-7 – through the whole process. Very solution-oriented and to the point. Easy to work with. They made us feel we were in control"

"We did a refinancing project starting in one direction. And after many turns, we ended in a different corner. The Plesner team was capable of handling all the different structures and stakeholders in a strong, professional and positive way"

"Well composed, talented team. High availability and swift turnarounds"

"Plesner's finance practice is probably the best in Copenhagen and consistently delivers high quality work regardless of the size of the transaction"



IFLR1000

2021-2022 IFLR1000

Plesner is listed in "Tier 1" as regards Banking and Finance.

"Provides high-quality advice with a clear understanding of the client's business and need" (2021/2022)

"Highly commercial approach, second-to-none market insights and swift responses" (2021/2022)

"Good knowledge and insight of relevant precedent documentation for the relevant financial sponsor. Overall kept a great overview of a fairly complex transaction with various deal-specific peculiarities" (2021/2022)

"The banking and finance team of Plesner is very knowledgeable and experienced within a broad range of financing types. They are very approachable and deliver excellent service" (2021/2022)

"The firm is very much up to speed with the latest trends and developments within the loan market on legal aspects and operates in a flexible and efficient manner, which is needed on the processes" (2021/2022)

**CHAMBERS
GLOBAL**

2022 **Chambers Global**

Plesner is listed in "Band 1" as regards Banking & Finance.

**CHAMBERS
EUROPE**

2022 **Chambers Europe**

Plesner is listed in "Band 1" as regards Banking & Finance.

"They deliver consistently high-quality work and they have good people"

"Deliver valuable advisory services"

"Laud their understanding of the loan market"

Our specialists



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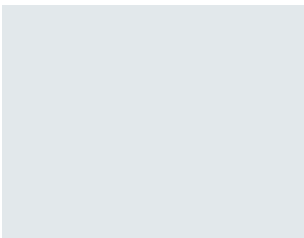
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